

Customer No.	026418	
Prepared from FORM PTO-1390	Transmittal Letter to the United States Designated/Elected Office (DO/EO/US)	
Attorney's Docket No.:	GK-ZEI-3286 / 500343.20307	
U.S. Application No.:	10/551685	
International Application No.:	PCT/EP2004/003089	
International Filing Date:	MARCH 24, 2004	24 MARCH 2004
Priority Date Claimed:	APRIL 02, 2003	03 APRIL 2003
Title of Invention:	ILLUMINATING AND IRRADIATING UNIT FOR OPHTHALMIC INSTRUMENTS	
Applicant(s) for (DO/EO/US):	Egon LUTHER, Ingo KOSCHMIEDER, Jan BUCHHEISTER and Falk MOEHR	

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

- ☒ 1. This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
- ☐ 2. This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
- ☐ 3. This express request to begin national examination procedures [35 U.S.C. 371 (f)]. The submission must include items (5), (6), (9), and (21) indicated below.
- ☐ 4. The US has been elected (Article 31).
- ☒ 5. A copy of the International Application as filed [35 U.S.C. 371(c)(2)]
- a) ☒ is attached hereto (required only if not communicated by the International Bureau).
- b) ☐ has been communicated by the international Bureau.
- c) ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
- ☒ 6. An English language translation of the International Application as filed [35 U.S.C. 371(c)(2)]
- a) ☐ is attached hereto
- b) ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
- ☐ 7. Amendments to the claims of the International Application under PCT Article 19 [35 U.S.C. 371(c)(3)]
- a) ☐ are attached hereto (required only if not communicated by the International Bureau).
- b) ☐ have been communicated by the international Bureau.
- c) ☐ have not been made; however, the time limit for making such amendments has **NOT** expired.
- d) ☐ have not been made and will not be made
- ☐ 8. An English language translation of the amendments to the claims under PCT Article 19 [35 U.S.C. 371(c)(3)]
- ☒ 9. An **UNSIGNED** Oath or declaration of the inventor(s) [35 U.S.C. 371(c)(4)] **EXECUTED Decl/POA - TO FOLLOW LATER**
- ☒ 10. An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 [35 U.S.C. 371(c)(5)]

Items 11. to 20. Below concern other document(s) or information included:

- ☒ 11. **An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98**
- ☐ 12. An Assignment document for recording. A separate cover sheet (PTO-1595) in compliance with 37 CFR 3.28 and 3.31 is included.
- ☒ 13. **A preliminary amendment**
- ☐ 14. An Application Data Sheet under 37 CFR 1.76
- ☒ 15. **A substitute specification with abstract (attached to the preliminary amendment)**
- ☐ 16. A change of power of attorney and/or address letter
- ☐ 17. A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821-1.825.
- ☐ 18. A second copy of the published International Application under 35 U.S.C. 154 (d)(4).
- ☐ 19. A second copy of the English language translation of the International Application under 35 U.S.C. 154 (d)(4).
- ☒ 20. (other items or information) **Search Reports: PCT/ISA/220 and 210 and PCT/ISA/237 9JUL04, German Examination Report 2APR03 AND PTO-1449 w/11 References**

EXPRESS MAIL No.: EL 962 857 946 US

Deposited: September 30, 2005

I hereby certify that this correspondence is being deposited with the United States Postal Service Express mail under 37 CFR 1.10 on the date indicated above and is addressed to: Mail Stop PCT, Commissioner For Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

 /Ruth Montalvo Date: September 30, 2005

U.S. Application No. (if known, see 37 C.F.R. 1.50):  
International Application No.: **PCT/EP2000/003089**

**10/551685**  
**JCO9 Rec'd PCT/PTO 30 SEP 2005**  
Attorney's Docket No: GK-ZEI-3286 / 500343.20307

The following fees are submitted:				Applicant use	Office use only
<input type="checkbox"/> 21 Basic national fee (37 CFR 1.492(a)) \$ 300.00				\$ 300.00	
<input type="checkbox"/> 22 Examination fee (37 CFR 1.492(b)) If the written opinion prepared by ISA/US or the International Preliminary Examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Articles 33(1)-(4) \$ 0.00 All other situations..... \$200.00				\$ 200.00	
<input type="checkbox"/> 23 Search fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the International Preliminary Examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Articles 33(1)-(4) \$ 0.00 Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority \$100.00 International Searching Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by IB \$400.00 All other situations..... \$500.00				\$ 500.00	
<b>TOTAL OF ABOVE CALCULATIONS:</b>				<b>\$1,000.00</b>	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (b) or computer program listing filed in an electronic medium) 37 CFR 1.492(j)). The fee is \$250.00 for each additional 50 sheets of paper or fraction thereof.					
Total sheets	Extra sheets	Number of each additional 50 or fraction thereof (round up to a whole number.	Rate		
- 100 =	/50 =		X \$250.00	\$	
Surcharge of \$ 130.00 for furnishing the oath or declaration later than 30 month from the earliest claimed priority date (37 CFR 1.492(e))				\$	
Claims	Number Filed		Number Extra	Rate	
Total Claims:	13	- 20	0	X \$ 50.00	
Independent Claims:	1	- 3	0	X \$ 200.00	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)				+ \$ 360.00	
<b>TOTAL OF ABOVE CALCULATIONS:</b>				<b>\$1,000.00</b>	
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date [37 CFR 1.492(e)]				+	\$
<b>TOTAL OF ABOVE CALCULATIONS:</b>				<b>\$1,000.00</b>	
<input type="checkbox"/> Applicant claims Small Entity Status [See 37 CFR 1.27] Reduction by ½ for filing by small entity				-	
<b>SUBTOTAL:</b>				<b>\$1,000.00</b>	
Processing fee of \$130.00 for furnishing the English Translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date [37 CFR 1.492(f)]				+	
<b>TOTAL NATIONAL FEE:</b>				<b>\$1,000.00</b>	
Fee for recording the enclosed assignment [37 CFR 1.21(h)] The assignment must be accompanied by an appropriate cover sheet (PTO-1595) [37 CFR 3.28, 3.31]. \$ 40.00 per property				+	\$
<b>TOTAL FEE(S):</b>				<b>\$1,000.00</b>	
<b>AMOUNT TO BE REFUNDED</b>					\$
<b>AMOUNT TO BE CHARGED</b>					\$

(Please note the filing fee is based on the claims in the Preliminary Amendment)

- a) ☒ Check in the amount of \$1,000.00 to cover the above fees is enclosed.
- b) ☐ Please charge my Deposit Account No 50-1529 in the amount of \$ .00 to cover the fee..
- c) ☒ The Commissioner is hereby authorized to charge any additional fees required with this submission or to credit any overpayment to Deposit Account No: 50-1529.)
- d) ☐ Fee are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 36 CFR 1.494 or 1.495 has not been met, a petition to revive [37 CFR 1.137(a) or (b)] must be filed and granted to restore the application to pending status.

**SEND ALL CORRESPONDENCE TO:**

Gerald H. Kiel, Esq.  
Reed Smith LLP (Customer No. 026418)  
599 Lexington Avenue  
New York, NY 10022-7650

Signature:

Attorney:

Reg. No.

Date:

Gerald H. Kiel

25,116

September 30, 2005

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# ENGLISH TRANSLATION OF GERMAN TEXT

## UNITED STATES PATENT AND TRADEMARK OFFICE ANNEX U.S. 111

**VERIFICATION OF A TRANSLATION**

I, the below named translator, hereby declare that:


My name and post office address are as stated below:

That I am knowledgeable in the English language and in the language in which the below-identified international application was filed, and that I believe the English translation of the international application PCT/ EP2004/003089 is a true and complete translation of the above-identified international application as filed.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Date September 15, 2005

Full name of the translator Daniel Cooper

Signature of the translator 

Post Office Address 1310 Felicity Street, New Orleans, LA 70130